

| | | | |
|---|--|---------------------------------------|-------------------------------|
| Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b)) | U.S. Department of Commerce Patent and Trademark Office | Attorney's Docket No. 09857-027001 | Application No. 09/401,872 |
| | Applicant Richard G. Ketchum et al. | | |
| | Filing Date September 23, 1999 | Group Art Unit | |

U.S. Patent Documents

| Examiner Initial | Desig. ID | Patent Number | Issue Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|---------------|------------|----------|-------|----------|----------------------------|
| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
| | AE | | | | | | |
| | AF | | | | | | |
| | AG | | | | | | |
| | AH | | | | | | |
| | AI | | | | | | |
| | AJ | | | | | | |
| | AK | | | | | | |

JUN 08 2000
Group 2700

RECEIVED

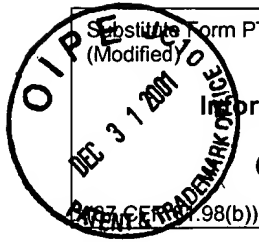
Foreign Patent Documents or Published Foreign Patent Applications

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation | |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
| | | | | | | | Yes | No |
| | AL | | | | | | | |
| | AM | | | | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |
| | AP | | | | | | | |

Other Documents (include Author, Title, Date, and Place of Publication)

| Examiner Initial | Desig. ID | Document |
|------------------|-----------|---|
| N.L. | AQ | Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61 pps. |
| | AR | |
| | AS | |
| | AT | |

| | |
|--|---------------------------------------|
| Examiner Signature <i>N. Subramanian</i> | Date Considered <i>June 14, 02</i> |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |


 Substitute Form PTO-1449
 (Modified)

 U.S. Department of Commerce
 Patent and Trademark Office

 Attorney's Docket No.
 09857-027001

 Application No.
 09/401,872

**Information Disclosure Statement
 by Applicant**

(Use several sheets if necessary)

 Applicant
 Richard G. Ketchum

 Filing Date
 September 23, 1999

Group Art Unit

U.S. Patent Documents

| Examiner Initial | Desig. ID | Patent Number | Issue Date | Patentee | Class | Subclass | Filing Date If Appropriate |
|------------------|-----------|---------------|------------|---------------|-------|----------|----------------------------|
| N.S. | AA | 5,297,032 | 3-22-94 | Trojan et al. | 364 | 408 | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
| | AE | | | | | | |
| | AF | | | | | | |
| | AG | | | | | | |
| | AH | | | | | | |
| | AI | | | | | | |
| | AJ | | | | | | |
| | AK | | | | | | |

 RECEIVED
 JAN 08 2002
 Group 2100

Foreign Patent Documents or Published Foreign Patent Applications

| Examiner Initial | Desig. ID | Document Number | Publication Date | Country or Patent Office | Class | Subclass | Translation | |
|------------------|-----------|-----------------|------------------|--------------------------|-------|----------|-------------|----|
| | | | | | | | Yes | No |
| N.S. | AL | WO 91/14231 | 19.09.91 | PCT | | | | |
| N.S. | AM | WO 98/13778 | 2.4.98 | PCT | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |
| | AP | | | | | | | |

Other Documents (include Author, Title, Date, and Place of Publication)

| Examiner Initial | Desig. ID | Document |
|------------------|-----------|--|
| N.S. | AQ | "Nasdaq Workstation II", Nasdaq Stock Market, Inc., May 1999, pps. 1-17, XP002171886 (www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm). |
| N.S. | AR | "Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc.", Federal Register - Securities and Exchange Commission, Vol. 64, No. 47, March 11, 1999, pps. 12198-202, XP002171885 (198.17.75.65/fril/). |
| N.S. | AS | Reich, Benny and Ben-Shaul, Israel: "A Componentized Architecture for Dynamic Electronic Markets", Sigmod Record, Vol. 27, No. 4, December 1998, pps. 40-47, XP002171887 (www.acm.org). |

Examiner Signature

N. Subramaniam

Date Considered

6/14/02

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

| | | | |
|--|--|---------------------------------------|-------------------------------|
| Substitute Form PTO-1449 (Modified) | U.S. Department of Commerce Patent and Trademark Office | Attorney's Docket No. 09857-027001 | Application No. 09/401,872 |
| Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b)) | | Applicant Richard G. Ketchum | |
| | | Filing Date September 23, 1999 | Group Art Unit |

Other Documents (include Author, Title, Date, and Place of Publication)

| Examiner Initial | Desig. ID | Document |
|---------------------|--------------|--|
| N.f. | AT | "Self Regulatory Organizations: Notice of Filing of Proposed Rule Change by the National Association of Securities Dealers, Inc." Federal Register – Securities and Exchange Commission, Vol. 64, No. 77, April 22, 1999, pps. 19844-49, XP002171896 (198.17.75.65/fril/). |

RECEIVED
JAN 08 2002
Group 2100

| | |
|--|----------------------------|
| Examiner Signature <i>N. Subramanian</i> | Date Considered 6/14/02 |
| EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |